



**California State University, Los Angeles**  
**Department of Public Safety**

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NUMBER:	I-17	APPROVED:	_____
			Joseph Curreri, Chief of Police
EFFECTIVE:	April 19, 2012		
SUPERSEDES:	5/10/2010	Reviewed/Revised:	April 19, 2012
SUBJECT:	<b>Performance Evaluation</b>		

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**I. PURPOSE:**

To establish procedures and clarify responsibilities for the University's Performance Evaluation process.

**II. POLICY:**

It is the policy of this Department to provide performance planning and evaluation which will ensure:

- the best use of human resources available;
- that personnel problems are identified and dealt with promptly and fairly; and
- optimum job satisfaction on the part of each employee.

To help further this policy, the performance evaluation process will be utilized as a tool by supervisors to further the development of all employees.

**III. DEFINITIONS:**

- A. Performance. Something done or performed. As used: actions taken or omitted with regard to specific tasks or assignments.
- B. Performance Objectives. Statements of operational behavior required for satisfactory performance of a task, the conditions under which the behavior is usually performed, and the criteria for satisfactory performance.
- C. Rated Employee. The employee whose performance is evaluated by a rater.
- D. Rater. The supervisor who evaluates the performance of a subordinate employee.
- E. Rating. The estimate of the value, worth, strength, capacity of, etc.; appraisal. As used: an indication of the quality of performance or attributes.
- F. Remedial Training. Personalized training to correct a specific deficiency, which is usually identified by either (1) testing or other evaluation during training or (2) supervisory evaluation during routine job performance.
- G. Skills, Knowledge, and Abilities. Skills are the proficiency with which an individual performs. Knowledge is a body of information or the understanding gained through learning, education, experience, or associations. Abilities are processes required to perform the various job responsibilities.
- H. Supervision and Control. Direct in-person contact.
- I. Unsatisfactory Performance. Employee behavior or work performance that is substandard and may lead to disciplinary action.

#### IV. PROCEDURES:

##### Performance Evaluation System

- A. Measurement definitions as defined in the *Staff Performance Appraisal*.
  - 1. Outstanding – Substantially exceeds standards.
  - 2. Commendable – Exceeds standards.
  - 3. Satisfactory – Meets standards.
  - 4. Marginal – Needs improvement.
  - 5. Unacceptable – Fails to meet minimal Standards.
- B. Definitions of Rating Criteria / categories.
  - 1. Job Skills - Includes mental and/or physical skills. Consider the skills required and employee's level of proficiency.
  - 2. Quality / Accuracy of Work - Degree of excellence of the work performed. Is work neat, accurate and thorough?
  - 3. Productivity - The amount of work required to meet the job standards. Supervisors should not make undue allowances for personal problems, age or length of service and normally should not make undue allowances for poor health or absenteeism. Consult with Human Resource Management if the latter is an issue.
  - 4. Customer Service - Does the employee contribute to a positive culture and attitude on campus? Does employee interact with students, faculty, other staff, and guests with a respectful, cordial, and solution-oriented approach to problems?
  - 5. Accepts Responsibility - Does employee accept or avoid responsibility for work that needs to be done and/or if things go wrong?
  - 6. Meets Deadlines - Does employee meet deadlines without the necessity of supervisory follow-up? Does employee give advance notice if unable to meet a deadline?
  - 7. Adapts to Change - Is employee flexible? Does employee assist or impede progress?
  - 8. Accepts Supervisory Direction - Does employee accept supervision, training and instruction?
  - 9. Shows Initiative - Does employee affirmatively seek ways to improve their individual and departmental job performance?
  - 10. Communication Skills - Includes written and spoken communication. How clearly and effectively does employee communicate? Includes clarity of thought, diction and grammar?
  - 11. Observance of Work Hours - All employees are expected to be punctual at the beginning of the work day, and at breaks and mealtime. Unauthorized overtime should also be addressed.
  - 12. Attendance - Regular and predictable attendance is a requirement of every job. Is there a pattern of overuse or abuse of sick leave?

13. Safety Practices/Care of Equipment - All employees must comply with reasonable safety practices and take reasonable care of their equipment.

FOR EMPLOYEES WITH SUPERVISORY AUTHORITY include the following.

14. Equal Employment Practices - All employees are expected to support the University's equal employment policies which are designed to maintain a diverse workplace environment in an atmosphere free of illegal harassment, discrimination, or retaliation.
15. Selection - Does employee select qualified candidates to fill vacancies in the unit? Do selected employees generally succeed?
16. Motivating Staff - Does employee facilitate getting the best performance out of the staff he or she supervises?
17. Training of Others - Does employee effectively train or provide for the training of their staff? Do they recognize that performance problems may be the result of inadequate training? Do they recognize that performance problems may be the result of inadequate training?
18. Planning and Organizing - Evaluate effectiveness of employee's time management and prioritization skills in achieving desired results.
19. Directing and Controlling - Includes coordination skills and effective follow-up of work assigned to others. Does their unit succeed as a team?
20. Delegation - Is work delegated appropriately? Supervisor should neither be tied up in excessive detail nor should they delegate decision making, policy interpretation or certain other highly significant tasks to others.
21. Operational Economy - Does their unit operate within budget? Is overtime minimized? Are creativity and effort used to minimize expenditures without sacrificing quality?
22. Appraisal of Others - Timeliness, accuracy, and usefulness of performance appraisals. Appraisal should present a thorough and objective summary of job performance. Comments should also refer to expectations documented in the job description and work plan of the employee being evaluated.
23. Discipline - Does supervisor promptly address inappropriate behavior or performance issues? Does supervisor document problems and efforts at correcting problems? Is progressive discipline utilized effectively?

C. Procedures for Use of Forms and Raters Responsibility.

1. At the top of the form, the rater will indicate:
  - a. Name of rated employee;
  - b. Social Security Number of rated employee;
  - c. Department;

- d. Classification Title;
  - e. Period of time covered by evaluation (actual dates covered by the evaluation);
  - f. Date evaluation discussed with rated employee; and
  - g. Type of report (Permanent, temporary, or probationary).
2. Rate each dimension applicable. If a particular category is not relevant, note same by checking "not applicable."
3. Criteria used for performance evaluation shall be specific to the assignment of the employee during the rating period.
4. COMMENTS Section : Describe job strengths, progress toward goals, problems, plans, and, as appropriate, areas where additional training will be provided.
  - a. A written explanation with specific examples of all check marks other than "Satisfactory" is required and is strongly encouraged if "Satisfactory" is selected.
  - b. Use attachments as needed. The employee and supervisor should sign all attachments.
  - c. Additional categories may be evaluated so long as the items being evaluated are clearly communicated to employees early in the evaluation period. Consult with Human Resource Management if you wish to add evaluation categories.
  - d. Categories 1, 2, 3, and 4 (job skills, quality/accuracy of work, productivity, and customer service) are to be weighed more heavily than other categories because job skills, quality/accuracy of work, productivity and customer service tend to measure the fundamental effectiveness of job performance.
5. The rater must gather all available information about the employee's performance prior to completing the evaluation.
  - a. The employee's personnel file should be checked to reference any commendations or adverse comments.
  - b. Other employees and supervisors who have worked with the employee should be interviewed to solicit information about events during the rating period which positively or negatively reflect on the employee's performance.
6. Raters must keep employees advised throughout the rating period of their observations relative to the employee's performance, to give the employee an opportunity to correct deficiencies and ensure that there are no surprises on the performance evaluation.
7. At the conclusion of the rating period, the rater must conduct a career development counseling session with the employee that will include:
  - a. Results of the performance evaluation just completed;

- b. The level of performance expected, rating criteria or goals for the new rating period;
  - c. Career counseling relative to advancement, specialization, or training appropriate to the employee's position;
  - d. An opportunity for the employee to sign and make written comments to supplement the completed evaluation;
  - e. A review of the appeal process, if the evaluation is contested; and
  - f. A copy of the evaluation will be provided the employee.
- 7. Raters will review draft evaluation with their immediate supervisor prior to presenting evaluation to rated employee. This allows input by other supervisors within the line of authority. The rater's immediate supervisor will sign the completed Staff Performance Appraisal in the "Management Level Signature" area of the form.
- 8. Completed and signed performance evaluations will be forwarded to the Human Resources Department for inclusion in the employee's personnel file.
  - a. A copy of the completed evaluation shall be provided to the employee.
  - b. A copy of the evaluation will be maintained in the Department's personnel file.
  - c. Personnel evaluations will become a part of the employee's permanent record and will be maintained indefinitely.

D. Rater Training

- 1. All supervisors will receive a block of instruction on preparation of performance evaluations at a POST approved Supervisor's course.
- 2. Human Resources conducts periodic classes for supervisors on the University's performance evaluation process and all supervisors will attend this training. Whenever the University revises the performance evaluation form, training will be provided in the new form and any revisions to the process.

E. Frequency of Performance Evaluations

- 1. Permanent Employees
  - a. Will be evaluated at least annually.
  - b. If their performance is deemed to be unsatisfactory, written notification will be given to them at least 90 days prior to the end of the annual rating period.
- 2. Probationary Employees
  - a. Sworn personnel will be evaluated throughout the Field Training Program, utilizing the Daily Observation Reports and the Supervisors Weekly Reports, which are discussed with and signed by the trainee.

- b. At the completion of the twelve-week FTO program the trainee will be evaluated utilizing the Staff Performance Evaluation. These evaluations must be completed at least quarterly during the employee's probationary period.
- c. All probationary personnel will receive 3, 6, 9, and 11 month evaluations during their probationary year.

F. Appeal Process

- 1. At the time the employee reviews the evaluation with the rater, the employee may discuss any items that the employee believes are not a true reflection of their performance.
- 2. The rater may revise the evaluation if he/she determines that the points raised by the employee have merit.
- 3. If the rater does not revise the evaluation after discussion with the employee and the employee continues to believe that the evaluation does not reflect their performance, the employee may review the evaluation with the rater's supervisor.
- 4. The rater's supervisor after speaking with the employee and the rater will make a determination if the evaluation will stand as written.
- 5. The employee will be given an opportunity to sign the completed evaluation and may attach written comments to supplement the information, if they wish.

G. Management Employees (MPP – Chief, Lieutenant, and Administrative Manager)

- 1. Management employees will be evaluated on a different form and through a performance evaluation system established by Human Resources and approved by the President.
- 2. *Performance Appraisal for Managers* (HRM – 600) establishes the process and outlines all dimensions rated.

V. APPENDICES:

- 1. Staff Performance Appraisal.
- 2. Performance Appraisal of Managers.



# Staff Performance Appraisal - CSEA

CALIFORNIA STATE UNIVERSITY LOS ANGELES

Appendix 1

Name:		Division:		<b>TYPE OF REPORT:</b> *Based on 40 hr time base. <input type="checkbox"/> Permanent - Annual  <input type="checkbox"/> Temporary - Every 3 months. Evaluation # _____ Appt. Ends _____  <input type="checkbox"/> Probationary - End of the 3 <sup>rd</sup> , 6 <sup>th</sup> , & 11 <sup>th</sup> month. Evaluation # _____ Period Ends _____  <input type="checkbox"/> Other					
Department:		VP initial (Annual only): _____							
Period of Time Covered by Evaluation:		Classification Title:							
Date Discussed with Employee:		Date Draft Given to Employee for Review (Annual only): *Draft Evaluation given to employee at least 5 days prior to finalization.							
When a recommendation of <i>Rejection During Probation</i> is being made, it should be submitted to the Director, Human Resource Management in a separate memorandum. A rejection during probation memorandum should be submitted earlier than the third appraisal, if possible. If the rejection recommendation coincides with the third appraisal, it should be attached to this form.									
<b>CATEGORY RATINGS</b> Check each category in the appropriate column.			Unacceptable (Fails To Meet Minimum Standards)	Marginal (Needs Improvement)	Satisfactory (Meets Standard)	Commendable (Exceeds Standard)	Outstanding (Substantially Exceeds Standard)	Not Applicable	<b>COMMENTS:</b> Describe job strengths, progress toward goals, problems, plans, and, as appropriate, areas where additional training will be provided.  An explanation with specific examples of all check marks other than "Satisfactory" is required and is strongly encouraged if "Satisfactory" is selected.  Use attachments as needed. The employee and supervisor should sign all attachments.  Additional categories may be evaluated so long as the items being evaluated are clearly communicated to employees early in the evaluation period. Consult with Human Resource Management if you wish to add evaluation categories.  *Categories 1, 2, 3, and 4 are to be weighed more heavily than other categories because job skills, quality/accuracy of work, productivity and customer service tend to measure the fundamental effectiveness of job performance.
*1	Job Skills								
*2	Quality/Accuracy of Work								
*3	Productivity								
*4	Customer Service								
5	Accepts Responsibility								
6	Meets Deadlines								
7	Adapts to Change								
8	Accepts Supervisory Direction								
9	Shows Initiative								
10	Communication Skills								
11	Observance of Work Hours								
12	Attendance								
13	Safety Practices/Care of Equipment								
<b>For Employees with Supervisor Responsibilities (Including Staff and Student)</b>									
14	Equal Employment Practices								
15	Selection								
16	Motivating Staff								
17	Training of Others								
18	Planning & Organizing								
19	Directing & Controlling								
20	Delegation								
21	Operational Economy								
22	Appraisal of Others								
23	Discipline								
<b>SUMMARY EVALUATION:</b> Must be supported by the ratings above.  <input type="checkbox"/> Unacceptable <input type="checkbox"/> Marginal  <input type="checkbox"/> Satisfactory <input type="checkbox"/> Commendable <input type="checkbox"/> Outstanding									
Management Level Signature (required if immediate supervisor is not designated as management level under the Management Personnel Plan):  Signature _____ Date _____									
Signature of Immediate Supervisor:  Name: _____ (Please print)  Signature _____  Date _____  I have received a copy of this evaluation. I have read it and it has been discussed with me. Signing does not reflect that I agree or disagree with the evaluation. Signature of Employee: _____  Signature _____  Date _____  I desire review by the second level supervisor:    Yes <input type="checkbox"/>  Signature _____  Date _____									

EQUAL OPPORTUNITY/TITLE IX EMPLOYER

(HRM 10/02)





California State University, Los Angeles

Human Resource Management

Appendix 2

## Performance Appraisal of Managers

Employee Name: \_\_\_\_\_ Division: \_\_\_\_\_

Position: \_\_\_\_\_

Date of Current Evaluation: \_\_\_\_\_ Length in Present Position: \_\_\_\_\_

Date of Last Evaluation: \_\_\_\_\_ Length under Evaluator's Supervision: \_\_\_\_\_

### Preparation of the Performance Appraisal

The Relative Value column on the right-hand side of the form is a weighting device to determine the value of the element as it may contribute to the total job. The rater should use this column for guidance and discretion to define the extent of the value (not the effort), which should be placed upon the contribution made. On the order of 0 to 5, of two positions in the same classification, one may entail significant supervisory responsibilities with a relative value of 4 or 5; whereas a second position, perhaps in a staff capacity with slight supervisory responsibilities, may obtain a relative value of 1 or 2. On the other hand, perhaps the relative value for the position with little supervisory responsibility may rate higher in managing financial and material resources. Likewise, a position with extensive public contact may rate high in managing information, but may have little or no relative value for managing human resources.

The merit of including this column is that it forces the rater to identify which parts of the job make the most important contribution to achieving the department goals and objectives. Both the relative value column and the overall comments help place the total job in perspective.

The Rating Scale column directly under the Relative Value column ranges from "Unsatisfactory" to "Outstanding."

While an employee may be rated **Unsatisfactory** in one of the eight elements he/she would normally not be rated Unsatisfactory in the Overall Evaluation section unless the employee had previously been advised of unsatisfactory performance. The employee rated Unsatisfactory in any one of the eight job elements would consistently fail to measure up to the requirements of that job element.

The employee rated **Marginal - Improvement Needed** sometimes fails to fulfill the work requirements of the unit for which he/she is responsible. The employee lacks consistency and may, at times, demonstrate ineffectual interpersonal relations, has difficulty communicating, occasionally fails to make proper use of his/her time, may neglect to make use of all available information, and is unable, at times, to be responsive to change.

The employee rated **Satisfactory** normally fulfills the work requirements of the unit for which he/she is responsible. For the most part, he/she is able to establish and meet reasonable goals and objectives. He/she sometimes falls short, but normally works as an effective member of the team, is responsive to changes, makes use of available information, and often utilizes human resources effectively and efficiently.

The employee rated **Commendable** consistently fulfills the work requirements of the unit for which he/she is responsible. He/she is responsive to change, handles emergencies or unanticipated problems well, makes creative use of time, is a responsible risk-taker, and utilizes human resources effectively and efficiently.

The **Outstanding** category should be reserved for the select few who are consistently and uniformly excellent in their level of performance. They frequently far exceed expected standards for the position. This individual's performance is invariably marked by: innovation; responsible risk-taking; prudent decisions; utilizing human resources effectively and efficiently; obtaining maximum savings in financial and material resources; high motivation and productivity among those he/she supervises.



### 1. Human Resources

Effectively recognizes and meets subordinate's technical teaching and career development needs; appraises performance, recognizes good and complete work and strengthens through action plans; secures trust and respect by developing teamwork among subordinates; confronts difficult interpersonal situations such as employee discipline, productivity; identifies and utilizes expertise of subordinates; provides fair and uniform treatment of subordinates; works toward meeting Affirmative Action/Equal Employment Opportunity commitments; implements precautionary safety measures and assures that potentially hazardous or unsafe conditions are inspected.

Evidence of Performance/Comment:

#### Value to Job

Not Applicable ☐  
 0 ☐  
 1 ☐  
 2 ☐  
 3 ☐  
 4 ☐  
 5 ☐  
 Critical

#### Level of Performance:

Unsatisfactory ☐  
 Marginal ☐  
 Satisfactory ☐  
 Commendable ☐  
 Outstanding ☐

### 2. Financial and Material Resources

At level appropriate to job, demonstrates fiscal responsibility and efficient utilization of resources; plans and controls expenditures and materials; encourages and demonstrates cost-effective performance; effectively utilizes operational and performance data to substantiate resource allocation requests. Does this person meet work commitments within established budgetary limitations?

Evidence of Performance/Comment:

#### Value to Job

Not Applicable ☐  
 0 ☐  
 1 ☐  
 2 ☐  
 3 ☐  
 4 ☐  
 5 ☐  
 Critical

#### Level of Performance:

Unsatisfactory ☐  
 Marginal ☐  
 Satisfactory ☐  
 Commendable ☐  
 Outstanding ☐

### 3. Administrative Operations Leadership

Plans and organizes necessary activities, programs, and objectives to meet goals; thinks through work barriers and keeps work advancing toward priority objectives; develops innovative and efficient organization and systems; roles and responsibilities are clearly defined among subordinates; effectively delegates and follows through. Handles conflict situations and crises without losing efficiency or composure. Does this person assemble information, materials, and people into a coherent, logical, and effective unit?

Evidence of Performance/Comment:

#### Value to Job

Not Applicable ☐  
 0 ☐  
 1 ☐  
 2 ☐  
 3 ☐  
 4 ☐  
 5 ☐  
 Critical

#### Level of Performance:

Unsatisfactory ☐  
 Marginal ☐  
 Satisfactory ☐  
 Commendable ☐  
 Outstanding ☐

### 4. Information-Communication

Communicates effectively both orally and in writing; maintains courteous relations and coordinates work activities with concerned departments and divisions, listens and responds to co-worker's or subordinate's ideas, needs, and suggestions; effectively conducts and participates in meetings, keeps his or her manager informed; develops and implements computerized information systems for storage and retrieval.

Evidence of Performance/Comment:

#### Value to Job

Not Applicable ☐  
 0 ☐  
 1 ☐  
 2 ☐  
 3 ☐  
 4 ☐  
 5 ☐  
 Critical

#### Level of Performance:

Unsatisfactory ☐  
 Marginal ☐  
 Satisfactory ☐  
 Commendable ☐  
 Outstanding ☐

### 5. Professional Standards

Meets technical or professional standards of work in an efficient manner; uses methods which enhance quality; work is accurate and thorough; amount of work completed meets or exceeds standards; completes work on schedule. Does the work performance of this person result in consistently high quality and quantity of professional work?

Evidence of Performance/Comment:

#### Value to Job

Not Applicable

0 ☐

1 ☐

2 ☐

3 ☐

4 ☐

5 ☐

Critical

#### Level of Performance:

Unsatisfactory ☐

Marginal ☐

Satisfactory ☐

Commendable ☐

Outstanding ☐

### 6. Problem Solving

Develops alternatives and implements practical and effective solutions; appropriately responds to new and different situations; overcomes resistance and gains acceptance for changes in policies, practices, or procedures; takes the effect on other University units into account when reaching solutions/decisions; normally resolves problems, controversial issues or complaints without referral to a higher source. Does this person consistently reach sound decisions for solutions to problems?

Evidence of Performance/Comment:

#### Value to Job

Not Applicable

0 ☐

1 ☐

2 ☐

3 ☐

4 ☐

5 ☐

Critical

#### Level of Performance:

Unsatisfactory ☐

Marginal ☐

Satisfactory ☐

Commendable ☐

Outstanding ☐

### 7. Professional Development

Seeks personal and professional growth and development through training and membership in professional organizations; adjusts to changes and manages stress. Assesses own knowledge and skills and seeks supervision when necessary to improve own performance. Demonstrates willingness to work with the campus community in support of campus programs. Is this person motivated toward responsible and mature managerial/professional behavior?

Evidence of Performance/Comment:

#### Value to Job

Not Applicable

0 ☐

1 ☐

2 ☐

3 ☐

4 ☐

5 ☐

Critical

#### Level of Performance:

Unsatisfactory ☐

Marginal ☐

Satisfactory ☐

Commendable ☐

Outstanding ☐

### 8. Policies, Practices and Procedures

Gains and maintains up-to-date knowledge of procedures and policies; adheres to union contracts and contract implementation policy in relations with united employees; develops and revises written procedures governing internal program operations.

Evidence of Performance/Comment:

#### Value to Job

Not Applicable

0 ☐

1 ☐

2 ☐

3 ☐

4 ☐

5 ☐

Critical

#### Level of Performance:

Unsatisfactory ☐

Marginal ☐

Satisfactory ☐

Commendable ☐

Outstanding ☐

### Special or Additional Assignments/Tasks/Responsibilities

Describe activities/goals:

--

**Value to Job**

Not Applicable

0 ☐

1 ☐

2 ☐

3 ☐

4 ☐

5 ☐

Critical

Evidence of Performance/Comment:

--

**Level of Performance:**

Unsatisfactory ☐

Marginal ☐

Satisfactory ☐

Commendable ☐

Outstanding ☐

Describe activities/goals:

--

**Value to Job**

Not Applicable

0 ☐

1 ☐

2 ☐

3 ☐

4 ☐

5 ☐

Critical

Evidence of Performance/Comment:

--

**Level of Performance:**

Unsatisfactory ☐

Marginal ☐

Satisfactory ☐

Commendable ☐

Outstanding ☐

Describe activities/goals:

--

**Value to Job**

Not Applicable

0 ☐

1 ☐

2 ☐

3 ☐

4 ☐

5 ☐

Critical

Evidence of Performance/Comment:

--

**Level of Performance:**

Unsatisfactory ☐

Marginal ☐

Satisfactory ☐

Commendable ☐

Outstanding ☐

Describe activities/goals:

--

**Value to Job**

Not Applicable

0 ☐

1 ☐

2 ☐

3 ☐

4 ☐

5 ☐

Critical

Evidence of Performance/Comment:

--

**Level of Performance:**

Unsatisfactory ☐

Marginal ☐

Satisfactory ☐

Commendable ☐

Outstanding ☐

## Summary Rating

(Check one):    Unsatisfactory ☐    Marginal ☐    Satisfactory ☐    Commendable ☐    Outstanding ☐

Evaluator's Comments:

--

Performance and development plan to be undertaken during next evaluation period:

--

Employee's Comments:

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Employee's Signature \_\_\_\_\_ Date \_\_\_\_\_

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Evaluator's Signature
Date

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School/Division Head Signature
Date

cc: Employee  
Supervisor  
Senior Manager  
Division of Human Resource Management